

JAN 24 2005

Applicant(s): Jjeffrey Lutze et al.

Title: Self-Aligned Non-Volatile Memory Cells And Processes For  
Fabrication

Application No.: 10/799,060

Filing Date: March 12, 2004

Examiner: Not yet assigned

Group Art Unit: 2818

Docket No.: SNDK.352US0

Conf. No.: 6740

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Transmitted herewith are the following documents in the above-identified application:

- (1) Return Receipt Postcard;
- (2) This Transmittal Letter (1 page);
- (3) Information Disclosure Statement (2 pages);
- (4) PTO Form 1449 (4 sheets); and
- (5) 9 Cited References.

Certificate of Mailing Under 37 CFR 1.8

I hereby certify that this correspondence is being  
deposited with the United States Postal Service with sufficient  
postage as first class mail in an envelope address to:  
Commissioner for Patents, P.O. Box 1450, Alexandria, VA  
22313-1450, on January 20, 2005.

Franklin Dyer

Respectfully submitted,

Gerald P. Parsons 1/29/05  
Gerald P. Parsons Date  
Reg. No. 24,486

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



Applicant(s):	Jjeffrey Lutze et al.		
Title:	Self-Aligned Non-Volatile Memory Cells And Processes For Fabrication		
Application No.:	10/799,060	Filing Date:	March 12, 2004
Examiner:	Not yet assigned	Group Art Unit:	2818
Docket No.:	SNDK.352US0	Conf. No.:	6740

---

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

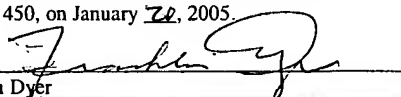
Pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant(s) call(s) the documents listed on the enclosed Form PTO-1449 to the Examiner's attention in this patent application.

This application has a filing date after June 30, 2003. Copies of the U.S. Patent(s) and U.S. Published Patent Application(s) documents listed on the accompanying Form PTO-1449 are not enclosed.

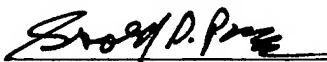
Citation of these documents shall not be construed as (1) an admission that the documents are prior art with respect to the invention or inventions claimed in this application, (2) a representation that a search has been made (other than as indicated by any cited document), or (3) an admission that the cited information is, or is considered to be, material to patentability as defined in § 1.56(b).

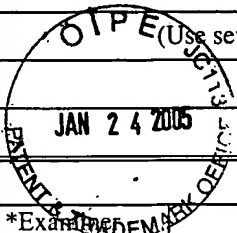
This information disclosure statement is submitted under 37 C.F.R. § 1.97(b) and consequently no fee should be required. The Commissioner is authorized, however, to charge

any fee that may be required, or to credit any overpayment, against Deposit Account No. 502664. This form is being submitted in duplicate.

<p align="center"><u>Certificate of Mailing Under 37 CFR 1.8</u></p> <p>I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope address to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on January <u>22</u>, 2005.</p> <p> _____ Franklin Dyer</p>
--

Respectfully submitted,

	<u>1/24/05</u>
Gerald P. Parsons	Date
Reg. No. 24,486	

U.S. Department of Commerce, Patent and Trademark				Atty. Docket No.		Application No.	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				SNDK.352US0		10/799,060	
				Applicant(s)			
(Use several sheets if necessary)				Jeffrey Lutze et al.			
				Filing Date		Group	
				March 12, 2004		2818	
<b>U.S. Patent Documents</b>							
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	001	5,043,940	8/1991	Harari			
	002	5,070,032	12/1991	Yuan			
	003	5,070,032	12/3/1991	Yuan et al.			
	004	5,095,344	3/1992	Harari			
	005	5,168,465	12/1992	Harari			
	006	5,172,338	12/1992	Mehrotra			
	007	5,198,380	3/1993	Harari			
	008	5,268,318	12/1993	Harari			
	009	5,268,319	12/1993	Harari			
	010	5,297,148	Mar. 22, 1994	Harari et al.			
	011	5,313,421	8/1994	Guterman			
	012	5,315,541	May 24, 1994	Harari et al.			
	013	5,343,063	8/1994	Yuan			
	014	5,343,063	8/30/1994	Yuan et al.			
	015	5,380,672	1/1995	Yuan			
	016	5,512,505	4/1996	Yuan			
	017	5,534,456	7/1996	Yuan			
	018	5,554,553	9/1996	Yuan			
	019	5,579,259	11/1996	Samachisa			
	020	5,595,924	1/1997	Yuan			
	021	5,640,032	Jun. 17, 1997	Tomioka			
	022	5,640,032	6/17/1997	Yugo Tomioka, Tokyo			
	023	5,654,217	8/1997	Yuan			
	024	5,661,053	8/1997	Yuan			
	025	5,677,872	10/1997	Samachisa			
Examiner			Date Considered				
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.							

U.S. Department of Commerce, Patent and Trademark				Atty. Docket No.		Application No.	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				SNDK.352US0		10/799,060	
				Applicant(s)			
(Use several sheets if necessary)				Jeffrey Lutze et al.			
				Filing Date		Group	
				March 12, 2004		2818	
	026	5,712,179	1/1998	Yuan			
	027	5,712,180	Jan. 27, 1998	Guterman et al.			
	028	5,747,359	5/1998	Yuan			
	029	5,756,385	5.1998	Yuan			
	030	5,786,988	7/1998	Harari			
	031	5,847,425	12/1998	Yuan			
	032	5,867,429	2/1999	Chen			
	033	5,883,409	3/1999	Guterman			
	034	5,923,976	7/13/1999	Kim			
	035	5,965,913	10/1999	Yuan			
	036	5,981,335	11/9/1999	Chi			
	037	5,999,448	12/1999	Kurihara			
	038	6,028,336	2/2000	Yuan			
	039	6,046,935	Apr. 4, 2000	Takeuchi et al.			
	040	6,103,573	8/2000	Harari			
	041	6,151,248	11/2000	Harari			
	042	6,208,545B1	3/2001	Leedy			
	043	6,222,762	Apr. 24, 2001	Guterman et al.			
	044	6,235,586B1	5/2001	Au			
	045	6,258,665B1	7/2001	Shimizu			
	046	6,281,075	Aug. 28, 2001	Yuan et al.			
	047	6,295,227	9/2001	Sakui et al.			
	048	6,297,097	10/2/2001	Jeong			
	049	6,417,538	7/2002	Choi			
	050	6,455,440	Sep. 24, 2002	Jeng Pei-Ren			
	051	6,512,263	1/2003	Yuan			
	052	6,529,410	3/2003	Han et al.			
	053	6,562,682	May 13, 2003	Chen Ming-Shang et al.			
	054	6,762,092	7/13/2004	Yuan			
Examiner			Date Considered				
<p>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.</p>							

U.S. Department of Commerce, Patent and Trademark				Atty. Docket No.			Application No.	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				SNDK.352US0			10/799,060	
				Applicant(s)				
(Use several sheets if necessary)				Jeffrey Lutze et al.				
				Filing Date			Group	
				March 12, 2004			2818	
U.S. Patent Documents								
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate	
U.S. Published Patent Application Documents								
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate	
	055	2001/001491	05/24/2001	Sakui				
	056	2004/0084713	05/2004	Hsieh, Chia-Ta				
	057	2004/0033663	02/2004	Chuang et al.				
	058	2002/0093073	7/18/2002	Mori et al.				
	059	2004/0070021	4/15/2004	Yuan, Jack H.				
	060	2001/0015454	Aug. 23, 2001	Lee Seong-Soo et al.				
Foreign Patent Documents								
							Translation	
		Document	Date	Country	Class	Subclass	Yes	No
	061	DE 196 17 632	July 3, 1997	Germany			Abstract	
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)								
	062	Aritome, Seiichi, "Advanced Flash Memory Technology and Trends for File Storage Application," IEDM Technical Digest, International Electronic Devices Meeting, IEEE, San Francisco, California, December 10-13, 2000, pp 33.1.1-33.1.4.						
	063	Chan, et al., "A True Single-Transistor Oxide-Nitride-Oxide EEPROM Device," <i>IEEE Electron Device Letters</i> , Vol. EDL-8, No. 3, March 1987, pp. 93-95.						
	064	DiMaria et al., "Electrically-alterable read-only-memory using Si-rich SiO <sub>2</sub> injectors and a floating polycrystalline silicon storage layer," <i>J. Appl. Phys.</i> 52(7), July 1981, pp. 4825-4842.						
	065	Eitan et al., "NROM: A Novel Localized Trapping, 2-Bit Nonvolatile Memory Cell," <i>IEEE Electron Device Letters</i> , Vol. 21, No. 11, November 2000, pp. 543-545.						
	066	Hori et al., "A MOSFET with Si-implanted Gate-SiO <sub>2</sub> Insulator for Nonvolatile Memory Applications," IEDM 92, April 1992, pp. 469-472.						
	067	Lee, Jae-Duk, et al., "Effects of Parasitic Capacitance on NAND Flash Memory Cell Operation," Non-Volatile Semiconductor Memory Workshop, IEEE, Monterey, California, August 12-16, 2001, pp. 90-92.						
Examiner			Date Considered					
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.								

U.S. Department of Commerce, Patent and Trademark				Atty. Docket No.			Application No.	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				SNDK.352US0			10/799,060	
				Applicant(s)				
(Use several sheets if necessary)				Jeffrey Lutze et al.				
				Filing Date			Group	
				March 12, 2004			2818	
<b>U.S. Patent Documents</b>								
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate	
<b>U.S. Published Patent Application Documents</b>								
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate	
<b>Foreign Patent Documents</b>								
							Translation	
		Document	Date	Country	Class	Subclass	Yes	No
<b>OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)</b>								
	068	Nozaki et al., "A 1-Mb EEPROM with MONOS Memory Cell for Semiconductor Disk Application," <i>IEEE Journal of Solid State Circuits</i> , Vol. 26, No. 4, April 1991, pp. 497-501.						
	069	Takeuchi, Y., et al., "A Self-Aligned STI Process Integration for Low Cost and Highly Reliable lGbit Flash Memories," 1998 Symposium on VLSI Technology; Digest of Technical Papers, IEEE, Honolulu, Hawaii, June 9-11, 1998, pp. 102-103.						
Examiner		Date Considered						
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.								